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Date June 1, 2005 Client-Matter 74622-006

Total Pages (Including Cover) 3

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Company: United States Patent and Trademark Office - Group Art Unit 3624 Voice No.: 703.305.4458

## Message

Re: Inventor : William Fitzpatrick  
Serial No. : 09/712,358  
Filing Date : November 14, 2000  
Title : BROWSER INTERFACE AND NETWORK BASED FINANCIAL  
SERVICE SYSTEM  
Att'y Docket : 74622-006

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

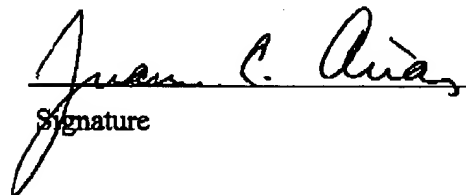
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

Name of person signing the certification

June 1, 2005

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PTO/SB/81 (09-04)

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INDICATION FORM**

Application Number	09/712,358
Filing Date	November 14, 2000
First Named Inventor	William Fitzpatrick
Title	BROWSER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEM
Art Unit	3624
Examiner Name	Charles R. Kyle
Attorney Docket Number	74622-006

I hereby appoint:

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Applicant/Inventor.



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	5/13/05
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.



Total of \_\_\_\_\_ forms are submitted.

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: William FitzpatrickApplication No./Patent No.: 09/712,358 Filed/Issue Date: November 14, 2000Entitled: BROWER INTERFACE AND NETWORK BASED FINANCIAL SERVICE SYSTEMUBS Financial Services, Inc., a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
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in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

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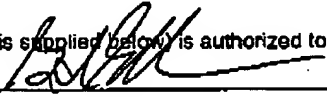
B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: William Fitzpatrick et al. To: Painewebber Incorporated  
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2. From: Painewebber Incorporated To: UBS Painewebber Inc.  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
Signature  
Gregg J. Goldman  
Printed or Typed Name  
Director and Senior Counsel, Technology and  
Intellectual Property, UBS AG, Stamford Branch  
Title

5-12-05  
Date  
203 719 3099  
Telephone Number

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